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Date: 4/15/04

By: [Signature]

Doug Gow

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: YU CHEN

APPLICATION NO.: 10/627,323

FILED: 07/24/2003

FOR: COMPENSATION OF BRAGG
WAVELENGTH SHIFT IN A GRATING
ASSISTED DIRECT COUPLER

EXAMINER:

ART UNIT: 2874

CONF. NO: 2288

**Information Disclosure Statement Within Three Months of
Application Filing or Before First Action – 37 C.F.R. § 1.97(b)**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Timing of Submission

This information disclosure is being filed within three months of the filing date of this application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever occurs last [37 C.F.R. § 1.97(b)]. The references listed on the enclosed Form PTO-1449 (modified) may be material to the examination of this application; the Examiner is requested to make them of record in the application.

2. Cited Information

☐ Copies of the following references are enclosed:

- ☒ All Non-US Patent references
- ☐ References marked by asterisks
- ☐ The following:

- ☐ Copies of the following references can be found in parent U.S. Application No. _____ :
- ☐ All cited references
 - ☐ References marked by asterisks
 - ☐ The following:
- ☒ This application was filed after 30 June 2003 and no copies of U.S. patents nor published applications are enclosed (See Notice of Deputy Commissioner Kunin on 11 July 2003).
- ☒ The following references are not in English. For each such reference, the undersigned has enclosed (i) a translation of the reference; (ii) a copy of a communication from a foreign patent office or International Searching Authority citing the reference, (iii) a copy of a reference which appears to be an English-language counterpart, or (iv) an English-language abstract for the reference prepared by a third party. Applicant has not verified that the translation, English-language counterpart or third-party abstract is an accurate representation of the teachings of the non-English reference, though, and reserves the right to demonstrate otherwise.
- ☐ All cited references
 - ☐ References marked by ampersands
 - ☒ The following: JP-2151842, JP-2001324734 and JP-2003195200

3. Effect of Information Disclosure Statement (37 C.F.R. § 1.97(h))

This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the cited information is, or is considered to be, material to patentability. In addition, applicant does not admit that any enclosed item of information constitutes prior art to the subject invention and specifically reserves the right to demonstrate that any such reference is not prior art.

4. Fee Payment

No fees are believed due because this Information Disclosure Statement is being filed before the mailing date of the first Office Action.

- ☐ Applicant further submits that no fee is due in light of the following certification under 37 C.F.R. § 1.97(e) (check only one):
- ☐ In accordance with 37 C.F.R. § 1.97(e)(1), the undersigned hereby states that each item of information submitted herewith was cited in a communication from a foreign patent office in a counterpart

foreign application not more than three months prior to the filing of this statement; or

- ☐ In accordance with 37 C.F.R. § 1.97(e)(2), the undersigned hereby states that no item of information submitted herewith was cited in a communication from a foreign patent office in a counterpart foreign application, or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of this statement.

However, should the Commissioner determine that fees are due in order for this Information Disclosure Statement to be considered, the Commissioner is hereby authorized to charge such fees to Deposit Account No. 50-0665.

5. Patent Term Adjustment (37 C.F.R. § 1.704(d))

- ☐ The undersigned states that each item of information submitted herewith was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this statement. 37 C.F.R. § 1.704(d).

Respectfully submitted,
Perkins Coie LLP

Date: _____

4/15/04


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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
Form PTO-1449 (Modified)
(Use several sheets if necessary)

COMPLETE IF KNOWN

Sheet **1** of **3** Application Number 10/627,323
Confirmation Number 2288
Filing Date 07/24/2003
First Named Inventor Yu Chen
Group Art Unit 2874
Examiner Name
Attorney Docket No. 38482-8011US

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	U.S. Patent or Application		Name of Patentee or Inventor of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		NUMBER	Kind Code (if known)			
		3,918,794		Milton	11/11/75	
		4,013,000		Kogelnik	03/22/77	
		4,240,693		Johnson et al.	12/23/80	
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		5,915,051		Damask et al.	06/22/99	
		5,943,454		Aksyuk et al.	08/24/99	
		6,057,520		Goodwin-Johansson	05/02/00	
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		6,522,795		Jordan et al.	02/18/03	

EXAMINER	DATE CONSIDERED
<p>*EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance <u>and</u> not considered. Include copy of this form with next communication to application(s).</p>	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT Form PTO-1449 (Modified) (Use several sheets if necessary)				COMPLETE IF KNOWN	
				Application Number	10/627,323
				Confirmation Number	2288
				Filing Date	07/24/2003
				First Named Inventor	Yu Chen
				Group Art Unit	2874
				Examiner Name	
Sheet	2	of	3	Attorney Docket No.	38482-8011US

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No.	U.S. Patent or Application		Name of Patentee or Inventor of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		NUMBER	Kind Code (if known)			
		6,567,573		Domash et al.	05/20/03	
		6,567, 574		Ma et al.	05/20/03	
		6,611,366		Islam et al.	08/26/03	
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		2002/0024717		Nakamura	02/28/02	
		2002/0063944		Kim et al.	05/30/02	
		2002/0150330		Kopp et al.	10/17/02	
		2003/0194179		Rumpf et al.	10/16/03	
		2003/0219197		Kawamoto	11/27/03	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No.	Foreign Patent or Application			Name of Patentee or Applicant of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	NUMBER	Kind Code (if known)				
		JP	2151842		Nippon Telegr & Teleph Corp	06/11/90		
		JP	2001324734		Nippon Telegr & Teleph Corp	11/22/01		
		WO	02/23244		Opient, Inc.	03/21/02		
		JP	2003195200		Fuji Photo Film Co Ltd	07/09/03		

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				Examiner Name	
Sheet	3	of	3	Attorney Docket No.	38482-8011US

OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume issue number(s), publisher, city and/or country where published.	T
		HARRY J. R. DUTTON, "Characteristics on In-Fibre Bragg Gratings", Understanding Optical Communications, January 15, 1999, pages 268-271, Prentice Hall PTR, Upper Saddle River, New Jersey, US.	
		B.J. EGGLETON, et al., "Integrated Tunable Fiber Gratings for Dispersion Management in High-Bit Rate Systems", Journal of Lightwave Technology, October 2000, pages 1418-1432, vol. 18, no. 10, IEEE, New York, NY, US.	
		MARK BARRATT, "Dispersion Management for the Next Generation Optical Network", Communications Design Conference, October 2001, pages 1-4, LaserComm Inc., Plano TX, US.	

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